Performance Management Confirmation
Application Guide
Preliminary Submittal Guide

Introduction

The confirmation process is a roadmap for developing a credible employee performance management program, building employee confidence in the organization's employee performance management system, and enhancing an existing performance-based culture.

Organizations receiving confirmation successfully demonstrate:

- A strong history of performance management.
- An ingrained performance-based culture.
- A mature performance planning and evaluation process.
- An internal quality review process of performance plans and evaluations.
- Extensive training of staff and supervisors.
- A high level of employee confidence.

Applying for confirmation is a multi-step submittal and reporting process. It is intended to help you assess your organization's ability to meet these indicators of a high-performing employee performance management system. Use this guide to help you gauge your readiness to begin the confirmation process and to complete the preliminary application.

This guide will help you complete the first five steps of the application process.

Application Process

The application process consists of several steps:

1. **Briefing**
   Executive management and HR staff receive a briefing on performance management confirmation (PMC) from the Department of Personnel (DOP).

2. **Project Manager and Confirmation Workgroup**
   Your organization appoints a project manager and convenes a workgroup to assess readiness, develop plans, and prepare submissions.

3. **Preliminary Readiness Assessment**
   Using the DOP standardized self-assessment tool and PMC employee confidence survey, and evaluate your organization's strengths relative to the confirmation criteria.

HR
WSD **Personnel**

4. **Preliminary Application**

   Once you are satisfied you meet the baseline requirements, complete and submit a preliminary application to DOP. The preliminary application must demonstrate that you meet certain readiness criteria. The application will be evaluated and you will be provided feedback on your organization's readiness to move forward (see Attachment A – Preliminary Application Submittal Table).

5. **Executive Meeting**

   Your chief executive and the DOP Director sit down to discuss expectations and obtain formal approval to move forward with development of your performance incentive program. This may include scheduling a target date for final submission.

6. **Develop Model Program**

   The project manager and workgroup develop model Performance Development Plans (PDPs) and work on program components, including:

   • Program award criteria and process.
   • Recommendation and Approval Process.
   • Reconsideration Process.
   • Roles, accountability, policies, and procedures.
   • Training and communication strategies and plans.
   • Funding and monitoring.

7. **Confirmation Review Group**

   DOP will convene a confirmation review group (CRG) consisting of representatives from confirmed organizations. In addition to evaluating your final application, the CRG will provide feedback and input as you develop your program and submit progress reports.

8. **First Interim Report**

   After testing the PIP award criteria against the model PDPs, the project manager and workgroup assess your progress and report your findings to DOP. The CRG will provide feedback (approximately 4 months after receiving approval to move forward).

9. **Audit Mid-term Evaluations**

   After your supervisors complete their written interim evaluations, your project manager and workgroup will audit them against the model PDPs and PIP award criteria. Based on your results and lessons learned, you will:

   • Update the model PDPs and award criteria.
   • Provide feedback, training, or one-one assistance to supervisors as needed.
   • Improve sub-standard plans before supervisors complete their final evaluations.
   • Improve and update your PDP course curriculum as appropriate.
   • Provide follow-up training for new supervisors who are hired mid-cycle.

10. **Second Interim Report**
    After completing the audit, the project manager and workgroup assess your progress and submit your second interim report to DOP and the review group for feedback (approximately 8 months).

11. **Third Interim Report**
    After completing a full PDP evaluation cycle, the project manager and workgroup test the evaluations and new PDP plans against the criteria. Criteria should be updated if needed, feedback should be provided to supervisors, and poor PDP plans should be corrected prior to the next submission.

    You will also conduct another employee confidence survey, develop your PIP supervisory training curriculum, and submit your final progress report to DOP and the CRG for feedback (approximately 17 months).

12. **Final Application**
    When ready, the project manager and workgroup complete and submit the final application to DOP (approximately 19 months). DOP staff will review the plan against the 10 confirmation criteria and schedule a presentation.

13. **Pre-presentation**
    Your project manager and workgroup will conduct a dry-run presentation before the CRG to vet the application and answer any technical questions.

14. **Presentation**
    Your chief executive, project manager, and workgroup present your application to the DOP Director and the CRG (approximately 20 months).

15. **Deliberations**
    The CRG analyzes the final application and makes a recommendation to the DOP Director (approximately 21 months).

16. **Decision**
    The DOP Director makes a decision on whether to grant confirmation (approximately 22 months).

17. **Post-Confirmation Implementation**
    Following confirmation, you provide training to your supervisors on your performance incentive program. After training, the project manager and workgroup assess the results and prepare to implement the award program (approximately 24 months).

18. **Post-Confirmation Monitoring Report**
    Following the distribution of your first year awards (and annually thereafter), your agency collects data, analyzes the results, and submits a report to DOP following DOP guidelines. DOP staff analyze the report and provide input to the DOP Director (approximately 30 months).

Application Content

Your preliminary application answers a series of questions tied to eight of the ten confirmation criteria. In preparation, you should:

1. **Review the preliminary application submittal table.**
   The submittal table (see attachment A) shows the items to complete. Criteria requirements are presented in question and answer format. The left column contains the questions to complete and the attachment(s) to include with your response. Some of the criteria have more than one category of questions to complete. The bulleted questions describe specific details that must be addressed.

   You may include information from other applications such as Baldridge or WSQA to support your responses to these questions (See WSQA cross-reference table). The right-hand column contains the standards that will be used to evaluate your application. They measure the maturity of your approaches, the breadth of deployment strategies, extent of organizational learning, and integration with your overall performance management system. You should refer to the application questions and the evaluation standards in your responses.

2. **Start by preparing the introduction.**
   The introduction helps reviewers understand your lines of business, structure, and performance management philosophy. You should discuss your vision, mission, values, and other information critical to understanding your organization.

3. **Respond completely to all application questions.**
   The questions allow the confirmation review group to evaluate and provide feedback. Review and feedback depend entirely on the completeness of your responses.

4. **Cross-reference where appropriate.**
   While the questions are designed to evaluate different criteria, some information may be relevant to many areas. It is appropriate to refer back to previous responses without repeating information.

Consultation and Assistance

DOP staff are available to assist you throughout the confirmation process, including providing a briefing to your executive management team regarding the confirmation process. Please contact the PMC Coordinator, Kris Brophy, at KrisB@dop.wa.gov or 360-664-6285 for more information.

Tools and Resources

Use the following tools and resources to learn more about the confirmation process.

- ❑ Confirmation Guide – Overview
- ❑ Application Guide – Preliminary Application Submittal Guide
- ❑ Application Guide – Interim Report and Final Submittal Guide
- ❑ Monitoring Report Guide
- ❑ Application Process Timeline chart
- ❑ Preliminary Readiness Assessment
- ❑ Employee Confidence Survey
- ❑ Employee Performance Incentive Program Survey
- ❑ Baldridge/WSQA Question Crosswalk table.
- ❑ Application Process Table

Attachments

A. Preliminary Application Submittal Table

B. Checklist

Submittal Requirements   **Attachment A**

Use the application questions and evaluation standards listed below to complete your application.

Preliminary Application Submittal Table	
Questions	**Evaluation Standards**
Introduction What are your organization's purpose, vision, mission, and values? What are your organization's main services and organizational structure? What are your organization's philosophy and goals around performance management?	**Not rated**
Performance Incentive Program	
What performance based practices are you considering for your performance incentive program? Your response should describe: • The specific performance incentive tools you are requesting. • What parts of your organization and which employees will be impacted by this program. • The desired outcomes you expect to achieve through this program.	**Not rated**

Preliminary Application Submittal Table	
Questions	**Evaluation Standards**
1. Executive Commitment	

Executive Commitment
 	
How has your leadership demonstrated its commitment to a performance-based culture and receiving performance management confirmation?
 	
Your response should describe:
• How your executive leadership has communicated its commitment to receiving performance management confirmation.
• How your organization has allocated adequate resources to achieve performance management confirmation.
 	
Include as attachments:
• Copies of executive communications such as:
  ❑ Notes or minutes from face-to face meetings conducted with employees and Director.
  ❑ Letters, email.
  ❑ Posters
  ❑ Newsletters
  ❑ Intranet pages
  ❑ Notes or minutes from staff meetings
• Copy of confirmation team roster and orientation and training completed to date.
	Executive Commitment
	❑ Agency demonstrates a historic culture of performance
	❑ Chief executive has communicated his/her commitment to both a performance management culture and performance management confirmation to employees.
	❑ Senior leadership has been actively involved in the development of the agency's current performance management system and preparing for confirmation.
	❑ Agency has formed a confirmation team composed of a cross-section of the agency. Senior leadership has given the team adequate resources, training, tools, and time to complete the project.

Preliminary Application Submittal Table	
Questions	**Evaluation Standards**
2. Readiness Assessment	

Readiness Assessment
Organizational Performance Planning
How has your leadership promoted and supported organizational performance planning and results?
 	
Your response should describe:
• Your process for developing your strategic plan.
• Your process for monitoring and reporting performance against goals.
• How your process integrates with other planning and assessment systems (GMAP, WSQA, etc.).
• The systems you have in place for communicating performance results.
 	
Include as attachments:
• A copy of your strategic plan.
• A copy of your business plan (if applicable).
• A copy of your performance measures for each business line in the organization.
• GMAP or comparable reports on business goal and performance measure progress.
• WSQA application and feedback report (if applicable).
• Baldridge application and feedback report (if applicable).
	Readiness Assessment
	Organizational Performance Planning
	❑ Agency vision, mission, and values are clearly stated and communicated to all employees.
	❑ Agency has a strategic plan with business goals, objectives, and strategies in place.
	❑ Agency has performance measures in place for each business line
	❑ Agency has a process for monitoring and reporting performance on.
	  ❑ Strategic plan and business plan goals.
	  ❑ Organizational performance levels.
	❑ Agency integrates the performance management system throughout the organization through activities such as GMAP, balance scorecard, WSQA and other types of assessments (e.g., internal and external audits).

Readiness Assessment
Recognizing Performance
What is your organization's experience recognizing or rewarding excellent performance?
 	
Your response should describe:
• Your experience identifying and responding to high performance through such means as:
	Readiness Assessment
	Recognizing Performance
	❑ Demonstrated experience recognizing excellent performance such as:
	  ❑ Recognition program that:
	    ❑ Tie individual contribution to organizational results.
	    ❑ Has defined criteria.
	    ❑ Has a formal process.
	  ❑ PDPs that establish and evaluate against stretch goals.
	  ❑ Succession programs that target high performers.

Preliminary Application Submittal Table	
Questions	**Evaluation Standards**
- Recognition programs. - PDP stretch goals. - Succession planning programs. - How this experience demonstrates your ability to successfully develop and implement a performance incentive program (if applicable). Include as attachments: - Copies of relevant materials.	
Readiness Assessment **Employee Confidence** How confident are your employees in the organization's ability to manage performance? Your response should describe: - Your survey process. - Your survey results. - Your gap analysis and action plan to get to 65% agreement and 75% overall response rate. Include as attachments: - Completed PMC employee confidence survey(s). - Completed gap analysis. - Completed action plan (detailing who, what, & when).	**Readiness Assessment** **Employee Confidence** ❑ Completed PMC employee confidence survey using standard DOP instrument. ❑ Survey administered to all agency employees. ❑ Results are tabulated separately between management and employees. ❑ 55% or more employees indicate agreement on each survey question.(i.e., agree and strongly agree). ❑ 75% or greater overall response rate. ❑ Completed gap analysis identifying strengths and challenges. ❑ Completed action plan addressing weak or low scoring areas.

Preliminary Application Submittal Table	
Questions	**Evaluation Standards**
Readiness Assessment **Self-Assessment** What do your self assessment results tell you that you need to work on? Your response should describe: • Your process for completing the self assessment. • The key areas* identified in your gap analysis. * Action plans should be described in detail in the sections below Include as attachments: • A copy of your self assessment and gap analysis	**Readiness Assessment** **Self-Assessment** ❑ Completed self-assessment (using DOP instrument). ❑ Completed gap analysis identifying strengths and challenges.
3. Roles & Responsibilities	
Roles & Responsibilities How do your current assigned roles and responsibilities support your existing employee performance management program? Your response should describe: • The current assignments. • How assignments are communicated. • How they contribute to the current performance management system. Include as attachments: • Copies of policies, procedures or other communication that outline roles and responsibilities*. * Please note these may also be found in: • Executive Directives. • Management Accountability. • Policies and Procedures. • Communication Plan. • Training Plan.	**Roles & Responsibilities** ❑ Roles and responsibilities are currently assigned for: ❑ Executive Management ❑ Human Resources ❑ Supervisors ❑ Employees ❑ Each person with an assigned role is aware of their standards and expectations of their assigned roles. ❑ Role and responsibility assignments thoroughly address: ❑ Executive Management responsibility for leadership and oversight. ❑ Human resource responsibility for monitoring, reporting, and coaching. ❑ Supervisor responsibility for: ❑ Performance planning ❑ Feedback, coaching, and evaluation ❑ Recognizing accomplishment ❑ Taking corrective action when necessary.

Preliminary Application Submittal Table	
Questions	**Evaluation Standards**

	❑ Employee responsibility for:
	   ❑ Participating in performance planning.
	   ❑ Achieving performance/competency targets.
	   ❑ Seeking feedback and clarification when necessary.
	   ❑ Correcting poor performance when necessary.

What are the most significant gaps moving forward? Include as attachments: • A copy of your action plan (detailing who, what, & when)	❑ Completed gap analysis ❑ Action plan for addressing identified gaps (detailing who, what, & when)
4. Management Accountability	
Management Accountability How are your managers and supervisors currently held accountable for consistent, equitable, and transparent administration of your existing performance management program? Your response should describe • Your accountability standards and practices, including the consequences of poor performance for managers and supervisors, • How accountability standards, practices and consequences are communicated to managers and supervisors. • Your monitoring and tracking processes for ensuring compliance. Include as attachments: • Copies of policies, procedures or other communication that outline accountability standards and practices*. * Please note these may also be found in the sections on Executive Directives, Management Accountability, Policies and Procedures, Communication Plan, and Training Plan	**Management Accountability** ❑ Clear accountability standards and practices exist for managers and supervisors. ❑ Managers and supervisors clearly understand consequences for failure to meet performance management responsibilities. ❑ Administrative process in place for tracking manager and supervisor compliance with performance management standards and practices.

Preliminary Application Submittal Table	
Questions	**Evaluation Standards**
What are the most significant gaps moving forward? Include as attachments: • Your action plan (detailing who, what, & when)	❑ Completed gap analysis ❑ Action plan for addressing identified gaps (detailing who, what, & when)
5. Policies and Procedures	
Policies and Procedures How do your current policies and procedures support your existing performance management program? Your response should describe: • How your current salary determination policy (SDP) and employee performance management (EPM) policy contribute to the success of your existing performance management program. • Your process for developing and implementing your policies and procedures. Include as attachments: • Copy of current SDP • Copy of current EPM Policy • Procedures for developing and communicating policies and procedures.	**Policies and Procedures** <u>Policy - Content</u> **Salary Determination Policy (SDP):** ❑ Describes the organization's general pay philosophy. ❑ Describes roles and responsibilities of various staff relative to compensation practices and processes. ❑ Describes how base salary and other elements of compensation are determined. **Employee Performance Management (EPM) Policy:** ❑ Describes executive commitment to EPM**.** ❑ Describes linkage between EPM, organizational performance management, and accomplishment of organizational goals. ❑ Describes the principles and purpose of the EPM system. ❑ Describes roles and responsibilities of various staff relative to EPM. <u>Policy - Process</u>: ❑ Describes process for drafting policies and procedures. ❑ Describes process for getting feedback and input. ❑ Describes process for communicating new/revised policies and procedures.
What are the most significant gaps moving forward? Include as attachments: • Your action plan (detailing who, what, & when)	❑ Completed gap analysis ❑ Action plan for addressing identified gaps (detailing who, what, & when)

Preliminary Application Submittal Table	
Questions	**Evaluation Standards**
6. Communication Strategy	

Communication Strategy
What is your internal communication strategy during development of your employee performance management program?
 	
Your response should describe:
• Your communication strategy, including:
    • Key 'themes' you intend to communicate to managers/supervisors.
    • Key 'themes' you intend to communicate to employees.
• The significant communication risks you will need to address moving forward.
• Contingency plans for eliminating misunderstandings and destructive myths.
 	
Include as attachments:
• Your action plan (detailing who, what, & when).
• Copies of communication so far.
	Communication Strategy
	❑ Completed risk analysis
	❑ Action plan for addressing identified risks (detailing who, what, & when), which includes:
	    ❑ Involvement of executive management, human resources, supervisors, and employees.
	    ❑ Targeted communication to managers/supervisors.
	    ❑ Targeted communication to employees.
	    ❑ Communication throughout agency, across all work units and locations,
	    ❑ Utilization of both formal and informal means of communication
	    ❑ Linkage with planned training.
	    ❑ Regular updates.

External Stakeholders What is your strategy for communicating with key external stakeholders (e.g. boards, legislators, regulators, and media) during development of the program? Your response should describe: • How you plan to communicate your intent to implement a performance incentive program with external clients and customers. Include as attachments: • Your action plan (detailing who, what, & when). • Copies of communication so far.	**External Stakeholders** ❑ External stakeholder communication action plan (detailing who, what, & when).

Preliminary Application Submittal Table	
Questions	**Evaluation Standards**
7. Training & Orientation	

Training & Development Strategy
How does your training and development strategy support your performance management culture?
 	
Your response should describe:
• Your commitment to training.
• Your core management/supervisor and employee training requirements.
• Your process and tools for monitoring compliance.
• Your current level of compliance.
 	
Include as attachments:
• Your organization training plan, detailing required training.
• Your monitoring reports, detailing current compliance with training requirements.
	Training & Development Strategy
	❑ Demonstrated executive commitment to staff training, including:
	  ❑ Financial resources.
	  ❑ Release time.
	❑ Established training requirements for:
	  ❑ Senior leaders and managers.
	  ❑ Supervisors.
	  ❑ Employees.
	  ❑ New supervisors.
	  ❑ New employees.
	❑ Core training requirements for all employees that include:
	  ❑ Ethics.
	  ❑ Diversity.
	  ❑ Sexual Harassment Prevention.
	❑ Core training requirements for managers and supervisors that include:
	  ❑ Supervisor's essentials or equivalent
	  ❑ PDP training.
	❑ Monitoring and reporting system that:
	  ❑ Comprehensively tracks all permanent employees.
	  ❑ Auditing PDPs for improvement
	  ❑ Reports compliance to executive management.
	❑ Demonstrated 90% compliance with required training.

What are the most significant gaps moving forward? Include as attachments: • Your action plan (detailing who, what, & when)	❑ Completed gap analysis ❑ Action plan for addressing identified gaps (detailing who, what, & when)

Preliminary Application Submittal Table	
Questions	**Evaluation Standards**
8. PDP Implementation	

PDP Implementation
Practices
How do your current performance planning and evaluation (PDP) **practices** support your existing performance management program?
 	
Your response should describe standards and expectations for :
• Conducting job analysis and writing Position Description Forms (PDF).
• Setting expectations in the PDPs.
• Providing employees with verbal and written feedback.
• Communicating and explaining organizational performance measures.
 	
Include as attachments:
• A sample of 10 completed Performance Description Forms and PDPs (plan and evaluation) representing a cross-section of employees.
	PDP Implementation
	Practices
	Position Description Forms (PDFs):
	❑ Supervisors clearly identify essential job functions and major job duties.
	❑ Supervisors clearly identify knowledge, skills, abilities and behaviors needed for successful job performance.
	
	Performance and Development Plans (PDPs):
	Planning Components (Parts 1,2,3):
	❑ Supervisors set individual job-related performance expectations that:
	    ❑ Establish standards and expectations for major job duties, and special assignments.
	    ❑ Are specific, measurable, action-oriented, realistic, and time-oriented (SMART).
	    ❑ Contain position-specific, measurable and observable competencies.
	❑ Employee development plans contain training plans for developing and maintaining key knowledge and skills needed for successful job performance.
	❑ Employees have the opportunity to provide input.
	
	Evaluation Components: (Parts 4 & 5)
	❑ Periodic interim reviews conducted to accurately reflect changes to work assignments or special projects.
	❑ Supervisors' feedback:
	    ❑ Distinguishes between unsatisfactory and satisfactory performance
	    ❑ Links performance results back to performance expectations identified in Part 1 of the PDP.

Preliminary Application Submittal Table	
Questions	**Evaluation Standards**

PDP Implementation
Process
How does your current performance planning and evaluation (PDP) **process** support your existing performance management program?
 	
How do you monitor and ensure compliance with your current performance planning and evaluation process?
 	
Your response should describe:
• Timeframes for maintaining and updating job descriptions.
• Your evaluation cycle, including whether you use a standardized cycle(s).
• Timeframes for drafting, discussing, submitting, and reviewing plans and evaluations (including how these timeframes are communicated to supervisors and employees).
• How and when employees are provided either verbal or written feedback and coaching during the evaluation cycle, including interim reviews.
• Your policies, procedures and tools for monitoring quality and compliance.
• Your current level of compliance.
Include as attachments:
• HR Management Report detailing current completion rates.
• Copy of current EPM policy and procedure (see Policies)
	PDP Implementation
	Process
	❑ Agency has used the PDP to plan and appraise performance for one or more performance cycles.
	❑ Agency has established timeframes and deadlines for completing the PDP.
	❑ Agency requires use of periodic interim reviews, including at least one mid-term evaluation during the review period. (May not be fully implemented at this point)
	❑ Agency has monitoring and reporting system that:
	  ❑ Comprehensively tracks all permanent employees.
	  ❑ Reports compliance to executive management.
	❑ Agency reviews PDPs for quality and improvement.
	❑ Agency has at least 90% completion/compliance rate for:
	  ❑ Performance and Development plans.
	  ❑ Individual development plans.
	  ❑ Performance evaluations.
	  ❑ Current position descriptions. (PDFs)
	  ❑ Supervisor expectations for workforce management.

What are the most significant gaps moving forward? Include as attachments: • Your action plan (detailing who, what, & when)	❑ Completed gap analysis Action plan for addressing identified gaps (detailing who, what, & when)
9. Funding Approach	
None at this point	None at this point
10. Monitoring & Measuring Success	
None at this point.	None at this point.

Submittal Checklist   **Attachment B**

Please be sure to complete the following items before submitting your preliminary application:

☑	**Checklist Item**
☐	**Executive management briefing** ❑ Executive management and HR staff have received a briefing on performance management confirmation from the Department of Personnel.
☐	**Confirmation workgroup formed** ❑ Your Executive management has appointed a project manager and convened an internal workgroup. ❑ The workgroup has been oriented and trained in the confirmation process.

☐	**Readiness assessment and gap analysis conducted**
	❑ The workgroup has completed a readiness assessment and gap analysis using the DOP Performance Management Confirmation:
	   ❑ Readiness Self-Assessment.
	   ❑ Employee Confidence Survey.
	   ❑ PMC Supervisor Confidence Survey.
	❑ The project manager and workgroup have evaluated the organization's strengths relative to the confirmation criteria and the survey results.

☐	**Baseline requirements met** ❑ The project manager and workgroup have evaluated the organization's strengths relative to the confirmation criteria and have determined in consultation with DOP that baseline requirements are met. ,
☐	**Preliminary application completed** ❑ The project manager and workgroup have prepared the preliminary application. ❑ The preliminary application demonstrates our organization meets all evaluation standards.
☐	**Submit Application** ❑ Submit your application to: Eva Santos, Director Washington State Department of Personnel PO Box 47500 Olympia, WA 98504-7500